

U.S. DEPARTMENT OF ENERGY (DOE) NATIONAL TRANSPORTATION PROGRAM, ALBUQUERQUE (NTP-A) Standard Operating Procedure			
Title: NTP-A and/or Field Office Requirements for the Planning, Conducting, and Tracking of Contractor Self-Assessment Activities			
Procedure No: NTP-A-TCEAP.001	Revision No: 1	Date: July 2000	Page: 1 of 5

1.0 PURPOSE

To specify a consistent approach to planning, scheduling, and tracking contractor self-assessment activities related to the TCEAP Process. This procedure meets the requirements identified as activity one in the TCEAP Management Plan.

2.0 SCOPE

Provides requirements and approach for NTP-A and/or DOE Field Offices to plane, conduct, and track contractor self-assessments to ensure implementation of applicable requirements to transportation and packaging activities.

This procedure applies to DOE-HQ, NTP-A, Field Office, Program Management, and contractor personnel performing transportation and packaging tasks and activities.

3.0 REQUIREMENTS, REFERENCES, AND DEFINITIONS

3.1 Requirements

- a. National Transportation Program "Transportation Compliance Evaluation/Assistance Program (TCEAP) Management Plan"
- b. DOE Order 460.1A, "Packaging and Transportation Safety," October 2, 1996
- c. DOE G-460.1-1, "Implementation Guide for use with DOE O 460.1A," June 5, 1997
- d. DOE Order 460.2, Change 1, Version 1, "Departmental Materials Transportation and Packaging Management," September 27, 1995
- e. DOE G-460.2-1, "Implementation Guide for Use With DOE Order 460.2," November 15, 1996
- f. DOE Order 200.1, "Information Management Program," September 30, 1996
- g. Title 10, Code of Federal Regulations
- h. Title 40, Code of Federal Regulations
- i. Title 41, Code of Federal Regulations
- j. Title 49, Code of Federal Regulations

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3.2 References

- a. DOE Order 414.1A, "Quality Assurance," September 29, 1999.
- b. DOE G 414.1-2 "Quality Assurance Management System Guide for Use with 10 CFR 830.120 and DOE O 414.1A," June 17, 1999.

3.3 Definitions

- a. Corrective Action Plan - A memorandum, letter, or action plan; written by the evaluated organization in response to the final Transportation Compliance Evaluation/Assistance Program (TCEAP) Report. This response should contain a description of the corrective action to be taken for evaluation findings; a schedule for implementation of the corrective action; and a detailed explanation regarding any disputed observations.
- b. Deficiency - A condition of an activity, attribute, documentation, or procedure that renders it unacceptable, indeterminate, or noncompliant.
- c. Evaluation - The act of reviewing, inspecting, testing, checking, auditing, surveilling, or otherwise determining and documenting whether items, processes, or services meet specified requirements. For the purposes of this document, the terms "audit," "verification," and "evaluation" are considered synonymous.
- d. Nonconformance - The nonfulfillment of a specific requirement. For the purpose of this document, nonconformance and noncompliance are considered to be synonymous.
- e. Objective Evidence - Information that can be proved true based on facts obtained through observations, measurement, test, or other means.
- f. Observation - A statement of fact made during an evaluation and substantiated by objective evidence.
- g. Self-Assessment - An assessment of work by its performer; according to specified rules.

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4.0 GENERAL REQUIREMENTS

4.1 Planning, conducting, and tracking of self-assessment activities and allocation of resources should be based on status, risk, and complexity of the activity. Scheduling of self-assessment activities should be flexible, with additional attention being given to areas of questionable performance.

4.2 DOE-HQ, NTP-A, Field Office, and Program Managers provide input to the planning of self-assessment activities for their areas of responsibility.

5.0 PROCEDURE

Attachment A is a flow chart depicting the overall work process associated with this procedure.

6.0 RECORDS

Documentation generated as a result of this procedure shall be identified, classified, and prepared in accordance with DOE Order 200.1 and managed with respect to the requirements specified in DOE G 200.1. At a minimum, the following are considered Quality Assurance (QA) records:

1. Copy of the Self-Assessment Request Cover Letter
2. Copy of the Contractor's Self-Assessment
3. Copy of the Field Office Response Letter
4. Copy of the Determination Letter

7.0 ATTACHMENTS

7.1 Attachment A - Planning, Conducting and Tracking Self-Assessment Activities - Process Flow Chart

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8.0 REVISION LISTING

<u>Revision Number</u>	<u>Description</u>	<u>Date Approved</u>
0	NTP-A-TCEAP.001	July 1999
1	NTP-A-TCEAP.001	July 2000

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Attachment A
Planning, Conducting, and Tracking Self-Assessment Activities
Process Flow Diagram

